



UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
United States Patent and Trademark Office
Address: COMMISSIONER FOR PATENTS
P.O. Box 1450
Alexandria, Virginia 22313-1450
www.uspto.gov

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/963,715	09/26/2001	Rabindranath Dutta	AUS920010319US1	9288

45440 7590 10/28/2004

IBM CORPORATION (SS)
C/O STREETS & STEELE
13831 NORTHWEST FREEWAY, SUITE 355
HOUSTON, TX 77040

EXAMINER

FISCHETTI, JOSEPH A

ART UNIT	PAPER NUMBER
----------	--------------

3627

DATE MAILED: 10/28/2004

Please find below and/or attached an Office communication concerning this application or proceeding.

Office Action Summary

Application No.

09/963,715

Applicant(s)

DUTTA ET AL.

Examiner

Joseph A. Fischetti

Art Unit

3627

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --
Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 21 September 2004.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-14 and 16-25 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 1-14 and 16-25 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☒ Claim(s) 15 and 26-38 are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on _____ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
- ☐ Certified copies of the priority documents have been received.
 - ☐ Certified copies of the priority documents have been received in Application No. _____.
 - ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- | | |
|--|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892) | 4) <input type="checkbox"/> Interview Summary (PTO-413)
Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948) | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152) |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)
Paper No(s)/Mail Date _____ | 6) <input type="checkbox"/> Other: _____ |

Election/Restrictions

Applicant's election without traverse of the invention of claims 1-14 and 16-25 in the reply filed on 10/21/04 is acknowledged.

Claim Rejections - 35 USC § 112

The following is a quotation of the second paragraph of 35 U.S.C. 112:

The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter which the applicant regards as his invention.

Claim 13 is rejected under 35 U.S.C. 112, second paragraph, as being indefinite for failing to particularly point out and distinctly claim the subject matter which applicant regards as the invention. In claim 13 there is no antecedent basis for the "first e-mail message".

Claim Rejections - 35 USC § 103

The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

Claims 1,2,4,5,13,16,17,19,20 are rejected under 35 U.S.C. 103(a) as being unpatentable over Lotvin et al. Blonder et al.

Lotvin et al. disclose electronically receiving an e-transaction proposal from a minor (block 604 system receives the child's selection col. 13 line 54). However, because the parental preferences are preset, there is messaging feature involved.

However, Blonder et al. disclose a transaction authorization system in which upon a purchase by one other than a card holder, an automatically created and electronically transmitted first message is generated (see col. 9, lines 11 et seq.). The method further is described as allowing parent approval prior to purchase by child (see col. 3, 32-42) The message describes the transaction in that as shown in Figs. 4 and 5, the description of the transaction is described in terms of when, how much, and who. The method of Lotvin et al. further solicits the cardholder to enter a transaction authorization code to enable consummation of the proposed e-transaction (see col. 9 line 21). The pre-defined code then is sent back electronically as a reply message received by the validation means 106 to provide a transaction authorization code and e-transaction instructions (approval/disapproval message col. 9 line 19), and automatically executing the e-transaction instructions (step 705 validation automatically occurs).

It would be an obvious modification to the method of Lotvin et al. to include the Blonder et al. process because this would provide a more flexible method in that a case by case approval can be taken of products purchased as opposed to the more rigid pre-selection of certain products as taught by Lotvin et al.

Art Unit: 3627

RE claim 2: the authorization from the transaction processing center to the retailer is read as the third message which is relayed by the retailer to the child. The motivation set forth above is repeated herein.

RE claim 4: predefined is read as server verifiable. The motivation set forth above is repeated herein.

Re claim 5: since the reply is based upon the transactional information-specific information of the transaction as set forth in Figs 4 and 5, the predefined code of Blonder et al. is read as transaction specific. The motivation set forth above is repeated herein.

Re claim 13: inasmuch as it is understood,, the page message in Blonder et al. does set forth information on the goods (see Figs 4 and 5). The motivation set forth above is repeated herein.

Claims 1,6-9, 21-24 are rejected under 35 U.S.C. 103(a) as being unpatentable over Lotvin et al. in view of Blonder et al. and further in view of Hawkins et al.

The above combination fails to provide a teaching for notifying the parent via e-mail. Hawkins et al. do disclose notifying parents of a problem with their child through e-mail or paging (see col. 12 lines 12-31). It would be obvious to modify the notification system of Blonder et al. and hence Lotvin et al. to use e-mail instead of paging because

Hawkins et al. do disclose either as equivalents, and the use of email when on line is more expeditious.

Claims 1,10-12, 14, 25 are rejected under 35 U.S.C. 103(a) as being unpatentable over Lotvin et al. in view Blonder et al. and further in view of Miller.

The above combination fails to disclose a clickable option menu which allow the user to select options to selectively reject items of the transaction e.g. alert level sensitivity as shown in Fig. 12C. It would be an obvious modification to this combination to include a clickable menu feature as taught by Miller in Lotvin et al. to provide the parent with an item specific approval/disapproval method because this would allow for more specific detailed control by the parent.

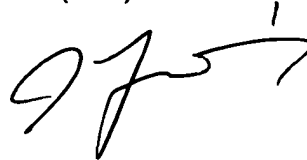
Claims 1,3, 18 rejected under 35 U.S.C. 103(a) as being unpatentable over Lotvin et al. in view Blonder et al. and further in view of Checchio. The above combination fails to disclose a reply message having a credit card number for electronically funding. However, Checchio disclose control by a parent against use of credit card by family members col.6 lines 60-62 by using a code which releases the card number for purchase. It would be an obvious modification to this combination to include a message which releases the card number for purchase as taught by Checchio because this would expedite processing without need for verbal communication.

Application/Control Number: 09/963,715
Art Unit: 3627

Page 6

The prior art made of record and not relied upon is considered pertinent to applicant's disclosure.

Any inquiry concerning this communication should be directed to PRIMARY EXAMINER Joseph A. Fischetti at telephone number (703) 305-0731.

A handwritten signature in black ink, appearing to be 'J. A. Fischetti', with a stylized flourish at the end.